## SECTION 1: PROPOSAL

Project Name: **FBI/CJIS Security Policy** Date: **10/03/00**

Agency Point of Contact for Project: **Carroll L. Bidler, Director Administrative Services**

Agency Point of Contact Phone Number / E-mail: **bidler@dps.state.ia.us**

Executive Sponsor (Agency Director or Designee) Signature: _____

**I T   P r o j e c t   E v a l u a t i o n**

| | |
|---|---|
| Is this project necessary for compliance with a Federal standard, initiative, or statute? (If "Yes," cite specific requirement, attach copy of requirement, and explain in Proposal Summary) | **Yes** |
| Is this project required by State statute? (If "Yes," explain in Proposal Summary) | No |
| Does this project meet a health, safety or security requirement? (If "Yes," explain in Proposal Summary) | **Yes** |
| Is this project necessary for compliance with an enterprise technology standard? (If "Yes," explain in Proposal Summary) | No |
| Does this project contribute to meeting a strategic goal of government? (If "Yes," explain in Proposal Summary) | **Yes** |
| Is this a "research and development" project? (If "Yes," explain in Proposal Summary) | No |

**PROPOSAL SUMMARY:**

The Federal Bureau of Investigation, Criminal Justice Information Services Division (CJIS) has adopted a security policy that we must adhere to in order to maintain our National Crime Information Center (NCIC) Services. This Security Policy requires that Control Terminal Agencies (CTA's) perform certain functions by no later than the close of Fiscal Year 2002. The Iowa Department of Public Safety is the CTA for Iowa.

This policy when adopted and implemented will help meet the Governors agenda strategic goal of safe communities throughout Iowa by protecting the states citizens and insure the integrity of law enforcement telecommunications operations.

## SECTION 2:  PROJECT PLAN

### 1.  Agency Information

Carroll L. Bidler, Director of Administrative Services Division of the Department of Public Safety is the executive who is the sponsor of the project.

**Organization Skills:**  The Data Services Bureau of the Department of Public Safety has the NCIC trained security group to implement this project.  Other skill sets our staff will make use of is: LAN/WAN technologies, Extranet and Internet technologies.  If additional skills are needed, appropriate training will be scheduled.

### 2.  Project Information

#### 2.A. Expectations:

The Federal Bureau of Investigation, Criminal Justice Information Services Division (CJIS) has adopted a security policy that we must adhere to in order to maintain our NCIC Services.  This Security Policy requires that Control Terminal Agencies (CTA's) perform certain functions by no later than the close of Fiscal Year 2002.  The Iowa Department of Public Safety is the CTA for Iowa.

The additional staff in our budget request for FY 2002 is specifically designed to address this security policy.  In addition to the additional staff, the department will be required to upgrade our communications network to allow the encryption of data and for the authentication of users. Attached is preliminary cost estimates and a proposed timeline for the accomplishment of these requirements.  We need to discuss these issues with the Department of Management as a part of our budget discussions.

A complete copy of the CJIS Security Policy is attached, however the major problem areas for the Department are as follows:

Each Control Terminal Agency (CTA) shall establish an Information Technology (IT) Security Program.

The CTA is responsible for security control.

Security control is defined as the ability of the CTA or criminal justice agency to set, maintain, and enforce:

1.  Standards for the selection, supervision, and termination of personnel; and

2.  Policy governing the operation of computers, access devices, circuits, hubs, routers, firewalls, and other components that make up and support a telecommunications network and related CJIS systems used to process, store, or transmit criminal justice information, guaranteeing the priority, integrity, and availability of service needed by the criminal justice community.

Each CTA shall establish an information security structure that provides for an ISO. The CTAs shall also ensure that each local agency having access to a criminal justice network have someone designated as the security point-of-contact (POC).

The ISO shall document technical compliance with all applicable elements of the *CJIS Security Policy*. The ISO shall also document and provide assistance for implementing the security-related controls for the Interface Agency and its users.

A CTA must assume responsibility for and enforce systems security standards with regard to all other agencies which it services.

The CTA shall provide security awareness briefings to all personnel who manage, or have access to FBI CJIS information.

The CTA's ISO shall establish procedures for documenting criminal justice information network configurations.

Each individual who is authorized to store, process, and/or transmit information on a FBI CJIS Division system shall be uniquely identified. The unique identification is also required for personnel who administer and maintain the systems. The unique identification can take the form of a full name, badge number, serial number, or other unique alphanumeric identifier.

The identifier shall be authenticated.

All new wireless upgrades contracted after 1/1/2001 shall support a minimum of 128-bit encryption for all data. Criminal justice data passing over wireless links must be protected by a minimum of 56-bit encryption if the information consists of FBI CJIS III information or intelligence data. The transmission of NCIC "hot" file data is allowed with either minimum 56-bit encryption, or a proprietary data transmission protocol that prevents recognizable clear text transmissions.  All wireless links or server access points must be protected by authentication to ensure protection from unauthorized system access.

All CJIS data transmitted over dial-up or Internet connections shall be immediately protected with encryption. All CJIS information passing through a public network segment must be protected with encryption while in that segment with it sanction able by close of fiscal year 2002, except for good cause shown to the APB, not to be extended past 2005.

Encryption shall employ at least a 128-bit key for systems contracted after 1/1/2001.

Networks in which some terminals, or access devices have CJIS access and/or Internet access (e.g., peer-to-peer relationships, large mainframes and servers that house web sites) must be protected by firewall type devices that implement a minimum firewall profile, to provide a point of defense and a controlled and audited access to servers, both from inside and outside the CJIS networks.

**B.  Measures**:  Please see the CJIS Security Policy that is attached.

**C.  Environment:** All states NCIC control terminal agencies are under federal mandate to implement.

**D.  Project Management and Risk Mitigation**:  All hardware/software purchases will be through the Department of General Services contracts.  See project spreadsheet for projected rollout.  We anticipate staff in FY02 with equipment and process implementation in FY03 – FY05.

**E. Security / Data Integrity / Data Accuracy / Information Privacy**: Standard business security practices will be implemented according to the CJIS security policy. Please see the CJIS Security Policy that is attached.

**3.    Current Technology Environment (Describe the following):**

A.  **Software (Client Side / Server Side / Midrange / Mainframe)**

- Cisco IOS V.11.1(22)
- Microsoft Windows 9x, 2000, NT
- Interfaces to other systems:

    IOWA System telecommunication message switch for Law Enforcement uses standard TCP/IP that connects state, county, local law enforcement.

B.  **Hardware (Client Side / Server Side / Mid-range / Mainframe):**

- Law enforcement agencies connection to the IOWA System are responsible for their own computer hardware and law enforcement software.

**4.  Proposed Environment (Describe the following):**

A.  Software (Client Side / Server side / Mid-range / Mainframe)

- Cisco telecommunication equipment
- Microsoft Windows 9x, 2000, NT

B.  Hardware (Client Side / Server Side / Mid-range / Mainframe)

- Cisco Routing equipment

**Project Schedule:**  A schedule that includes: time lines, resources, tasks, checkpoints, deliverables and responsible parties.

See attached spreadsheet.

## SECTION 3:  Return On Investment (ROI) Financial Analysis

### Project Budget:

Provide the estimated project cost by expense category.

```
Personnel............................... $   79,716
Software ................................. $
Hardware............................... $     5,500
Training ................................. $   31,500
Facilities ................................ $
Professional Services............. $
Supplies ................................ $     1,764
Other (Specify)……………… $_____
               Total.................. $   118,480
```

### Project Funding:

Provide the estimated project cost by funding source.

State Funds............................. **$ 118,480**...................... **100%**  % of total cost
Federal Funds........................ $_____ .........._____  % of total cost
Local Gov. Funds ................... $_____ .........._____  % of total cost
Private Funds ........................ $_____ .........._____  % of total cost
Other Funds (Specify) ............ $_____ .........._____  % of total cost
        Total Cost: .............. $ **118,480**_____ .......  **100%**   % of total cost

Provide the estimated project cost by fiscal year.

How much of the cost would be incurred by your agency
from normal operating budgets (staff, equipment, etc.)?  ......................... ……$118,480_   _100__%

How much of the cost would be paid by requested State IT project funds?    $___0_____   __0__%

**FY03 costs $1,619,335**

Identify, list, and quantify all annual maintenance expenses (State Share) related to the project.

**$138,127**

Identify, list, and quantify any other future expenses (State Share) related to the project.

**$250,000 Annually**

## ROI Financial Worksheet Directions (Attach Written Detail as Requested):

**Annual Pre-Project Cost** -- Quantify, in written detail, all actual State government direct and indirect costs (personnel, support, equipment, etc.) associated with the activity, system or process prior to project implementation. This section should be completed only if State government costs are expected to be reduced as a result of project implementation.

**Project not currently being done – no annual pre-project costs.**

**Annual Post-Project Cost** -- Quantify, in written detail, all estimated State government direct and indirect costs associated with activity, system or process after project implementation. This section should be completed only if State government costs are expected to be reduced as a result of project implementation.

**N/A**

**State Government Benefit** -- Subtract the total "Annual Post-Project Cost" from the total "Annual Pre-Project Cost." This section should be completed only if State government costs are expected to be reduced as a result of project implementation.

**Citizen Benefit** -- Quantify, in written detail, the estimated annual value of the project to Iowa citizens**.** This includes the "hard cost" value of avoiding expenses (hidden taxes) related to conducting business with State government. These expenses may be of a personal or business nature. They could be related to transportation, the time expended on or waiting for the manual processing of governmental paperwork such as licenses or applications, taking time off work, mailing, or other similar expenses.

**Opportunity Value/Risk or Loss Avoidance Benefit** -- Quantify, in written detail, the estimated annual benefit to Iowa citizens or to State government. This could include such items as qualifying for additional matching funds, avoiding the loss of matching funds, avoiding program penalties/sanctions or interest charges, avoiding risks to health/security/safety, avoiding the consequences of not complying with State or federal laws, providing enhanced services, avoiding the consequences of not complying with enterprise technology standards, etc.

**See attached "ROI – Supplemental Financial Worksheet".**

**Total Annual Project Benefit** -- Add the values of all annual benefit categories.

**Total Annual Project Cost** -- Quantify, in written detail, the estimated annual new cost necessary to implement and maintain the project including consulting fees, equipment retirement, ongoing expenses (i.e. labor, etc.), other technology (hardware, software and development), and any other specifically identifiable project related expense. In general, to calculate the annual hardware cost, divide the hardware and associated costs by three (3), the useful life. In general, to calculate the annual software cost, divide the software and associated costs by four (4), the useful life. This may require assigning consulting fees to hardware cost or to software cost. A different useful life may be used if it can be documented.

**Benefit / Cost Ratio** – Divide the "Total Annual Project Benefit" by the "Total Annual Project Cost." If the resulting figure is greater than one (1.00), then the annual project benefits exceed the annual project cost. If the resulting figure is less than one (1.00), then the annual project benefits are less than the annual project cost.

**ROI** -- Subtract the "Total Annual Project Cost" from the "Total Annual Project Benefit" and divide by the amount of the requested State IT project funds.

**Benefits Not Cost Related or Quantifiable** -- List the project benefits and articulate, in written detail, why they (IT innovation, unique system application, utilization of new technology, hidden taxes, improving the quality of life, reducing the government hassle factor, meeting a strategic goal, etc.) are not cost related or quantifiable. Rate the importance of these benefits on a "1 – 10" basis, with "10" being of highest importance. Check the "Benefits Not Cost Related or Quantifiable" box in the applicable row.

**IT Project Evaluation**

## ROI Financial Worksheet

**IT Project Evaluation**

| Annual Pre-Project Cost - How You Perform The Function(s) Now | |
|---|---|
| FTE Cost (salary plus benefits): | |
| Support Cost (i.e. office supplies, telephone, pagers, travel, etc.): | |
| Other Cost (expense items other than FTEs & support costs, i.e. indirect costs if applicable, etc.): | |
| **A. Total Annual Pre-Project Cost:** | **N/A** |

| Annual Post-Project Cost – How You Propose to Perform the Function(s) | |
|---|---|
| FTE Cost: | |
| Support Cost (i.e. office supplies, telephone, pagers, travel, etc.): | |
| Other Cost (expense items other than FTEs & support costs, i.e. indirect costs if applicable, etc.): | |
| **B. Total Annual Post-Project Cost:** | **N/A** |
| **State Government Benefit ( = A-B ):** | **N/A** |

| Annual Benefit Summary | |
|---|---|
| State Government Benefit: | |
| Citizen Benefit (including quantifiable "hidden taxes"): | |
| Opportunity Value and Risk/Loss Avoidance Benefit: | **$ 1,231,538** |
| **C. Total Annual Project Benefit:** | **$ 1,231,538** |
| **D. Total Annual Project Cost:** | **$ 114,355** |
| **Benefit / Cost Ratio (C / D):** | **10.76** |
| **ROI (C – D / Requested State IT Project Funds):** | **942.9%** |

## FBI/CJIS
## INFORMATION SECURITY POLICY
### August-00

| Task | FY2001 Jul-Sep | Oct-Dec | Jan-Mar | Apr-Jun | FY2002 Jul-Sep | Oct-Dec | Jan-Mar | Apr-Jun | FY2003 Jul-Sep | Oct-Dec | Jan-Mar | Apr-Jun | FY2004 Jul-Sep | Oct-Dec | Jan-Mar | Apr-Jun |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Prepare Preliminary ISO requirements Documentation | xxxxxxxx | | | | | | | | | | | | | | | |
| Prepare Preliminary Budget Requirements | | xxx | | | | | | | | | | | | | | |
| Prepare final ISO Requirements and develop bid documents | | | xxxxx | xxxxxxx | xxxxxxx | xxxxxxx | | | | | | | | | | |
| Prepare Budget Request for FY 2003 for ISO Requirements | | | | | xxx | | | | | | | | | | | |
| Issue Bid documents for ISO Requirements' | | | | | | | xxx | | | | | | | | | |
| Arrange financing through either Operating Lease or Capitol Lease | | | | | | | xxxxx | xx | | | | | | | | |
| Review Bids and select vendor | | | | | | | xxxx | xxxx | | | | | | | | |
| Install ISO System | | | | | | | | xxx | | | | | | | | |
| Estimated Funding over 3 years | | | | | $35,000 | $110,000 | $110,000 | $110,000 | $110,000 | $110,000 | $110,000 | $110,000 | $110,000 | $110,000 | $110,000 | $110,000 |
| Estimated Maintenance Funding | | | | | | $34,500 | $34,500 | $34,500 | $34,500 | $34,500 | $34,500 | $34,500 | $34,500 | $34,500 | $34,500 | $34,500 |

iso project.xls

# IT Project Evaluation

| Task | FY2001 Jul-Sep | FY2001 Oct-Dec | FY2001 Jan-Mar | FY2001 Apr-Jun | FY2002 Jul-Sep | FY2002 Oct-Dec | FY2002 Jan-Mar | FY2002 Apr-Jun | FY2003 Jul-Sep | FY2003 Oct-Dec | FY2003 Jan-Mar | FY2003 Apr-Jun | FY2004 Jul-Sep | FY2004 Oct-Dec | FY2004 Jan-Mar | FY2004 Apr-Jun |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Prepare Preliminary budget Requirements for Biometrics | xxxx | | | | | | | | | | | | | | | |
| Prepare Biometrics Requirements | | | | | xxxxxxx | | | xxxxxxx | | | | | | | | |
| Prepare final Biometrics Requirements and develop bid documents | | | | | | | | | | xxxxxx | | | | | | |
| Issue Bid Documents for Biometrics | | | | | | | | | | | xx xx | | | | | |
| Arrange financing through either Operating Lease or Capitol Lease | | | | | | | | | | | xxxx | | | | | |
| Review Bids and select vendor | | | | | | | | | | | | xxxx | | | | |
| Install Biometrics System | | | | | | | | | | | | xxx | | | | |
| Estimated Funding over 3 years | | | | | | | | | | | | $21,000 | $21,000 | $21,000 | $21,000 | $21,000 |
| Estimated Maintenance Funding | | | | | | | | | | | | $2,100 | $2,100 | $2,100 | $2,100 | $2,100 |

iso project.xls

## DPS One Time Cost For ROI (NCIC ISO Program)

### Remote users

| | | | | | | | | 3 Year Roll Out | | |
| Qty | Old Product | New Product | Trade-In | Per unit cost | Total Cost | Per Unit Maint. | Total Maint. | Yr. One | Yr. Two | Yr. Three |
|---|---|---|---|---|---|---|---|---|---|---|
| 134 | 2501 | 2620 | $600.00 | $4,756.60 | $556,984.40 | $375.00 | $50,250.00 | | | |
| 2 | 2502 | 26xx | $600.00 | $4,800.00 | $8,400.00 | $376.00 | $752.00 | | | |
| 1 | 2507 | 26xx | $600.00 | $0.00 | $0.00 | $377.00 | $0.00 | | | |
| 1 | 2509 | 26xx | $600.00 | $0.00 | $0.00 | $378.00 | $0.00 | | | |
| 88 | 2514 | 26xx | $600.00 | $5,300.60 | $413,652.80 | $379.00 | $33,352.00 | | | |
| | | | | | $979,037.20 | | $84,354.00 | $326,345.73 | $326,345.73 | $326,345.73 |

### Cap. Complex

| Qty | Old Product | New Product | Trade-In | Per unit cost | Total Cost | Per Unit Maint. | Total Maint | Yr. One | Yr. Two | Yr. Three |
|---|---|---|---|---|---|---|---|---|---|---|
| 6 | N/A | 3548 | $0.00 | $3,396.60 | $20,379.60 | $452.00 | $2,712.00 | | | |
| 1 | N/A | 6509 | $0.00 | $87,500.00 | $87,500.00 | $10,450.00 | $10,450.00 | | | |
| 3 | N/A | 3000 VPN | $0.00 | $24,500.00 | $73,500.00 | $3,750.00 | $11,250.00 | | | |
| 1 | N/A | 7513 | $0.00 | $94,350.00 | $94,350.00 | $9,549.00 | $9,549.00 | | | |
| 4 | N/A | PIX Firewall | $0.00 | $6,120.00 | $24,480.00 | $1,425.00 | $5,700.00 | | | |
| 1 | N/A | Net Ranger | $0.00 | $47,500.00 | $47,500.00 | $12,030.00 | $12,030.00 | | | |
| 2 | N/A | Switch Probes | $0.00 | $8,156.60 | $16,313.20 | $855.00 | $1,710.00 | | | |
| 1 | N/A | 2620 (INTELL) | $0.00 | $2,273.00 | $2,273.00 | $372.00 | $372.00 | | | |
| | | | | | $366,295.80 | | $53,773.00 | $122,098.60 | $122,098.60 | $122,098.60 |

Total $1,345,333.00 $138,127.00

Biometrics $250,000.00 $83,333.33 $83,333.33 $83,333.33
Server to house logs $12,000.00
clean server $12,000.00

Page 1

h:\my documents\one time cost for fy02 roi.xls

**ROI – Supplemental Financial Worksheet**

| | | FY 2002 | FY 2003 | FY 2004 | FY 2005 | FY 2006 |
|---|---|---|---|---|---|---|
| Current IOWA System costs (State) | | $1,231,538 | $1,231,538 | $1,231,538 | $1,231,538 | $1,231,539 |
| Current Iowa System costs (Local) | | | | | | |
| 220 agencies @ $5,500 /4 | | | $302,500 | $302,500 | $302,500 | $302,500 |
| | | | | | | |
| Estimated annual System Costs at risk of loss if project not funded | | | | | | |
| Annual project Risk/Loss Avoidance Benefit | | $1,231,538 | $1,534,038 | $1,534,038 | $1,534,038 | $1,534,039 |
| | | | | | | |
| **Project Costs** | | | | | | |
| Annual operating Expense | | $112,980 | $112,980 | $112,980 | $112,980 | $112,980 |
| Hardware Prorated over 4 yrs | 5500 | $1,375 | $1,375 | $1,375 | $1,375 | $1,375 |
| | | | | | | |
| FY 2003 Hardware Costs Prorated over 4 years | 1619333 | | $404,833 | $404,833 | $404,833 | $404,833 |
| Annual Maintenance | | | $138,127 | $138,127 | $138,127 | $138,128 |
| | | | | | | |
| Annual Project Costs | | $114,355 | $657,315 | $657,315 | $657,315 | $657,316 |
| | | | | | | |
| | | | | | | |
| Benefit /Cost Ratio (13/24) | | 10.77 | 2.33 | 2.33 | 2.33 | 2.33 |
| | | | | | | |
| ROI (13-24/Requested State IT Project Funds) | | 942.929% | 133.379% | 133.379% | 133.379% | 133.379% |

IT Project Evaluation